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UNCLAS SECTION 01 OF 02 SURABAYA 000060

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TAGS: [CMGT](#) [CVIS](#) [ID](#)

SUBJECT: US CONSULATE GENERAL SURABAYA: 2007 ANNUAL CERTIFICATION OF  
CONSULAR MANAGEMENT CONTROLS

REF: STATE 139705

¶1. Post completed the 2007 annual review of consular management controls on 22 October 2007. Caryn R. McClelland, Consul General, FS-01 certified the completion of the management review.

¶2. Background on Surabaya Personnel: There are currently two consular officers assigned to post and one Pol/Econ officer who covers during personnel shortages. All three officers are recent graduates of the Consular General Course offered at FSI.

¶3. Narrative describing steps completed during this review:

a) Standard Operating Procedures: All consular officers are familiar with and have access to all consular guides, cables, instructions, references and regulations. Post specific SOPs are stored on the consular shared-drive at post and all consular section employees have access to this location.

b) Consular Shared Tables (CST) Management: Personally verified the following:

(1) Consular employees only have access to necessary systems befitting their position and that only FSOs have adjudicatory and management roles.

(2) Only active employees are maintained in the system. No anonymous accounts exist.

(3) All users are given access as their position requires.

(4) User passwords are changed every 6 months or as necessity dictates.

c) Access: Due to physical constraints/size of the existing Consulate building post has not been able to completely limit access to the Consular Section. We have recently installed cypher-locks on all the doors and after the shared fax machine has been relocated, these doors will be locked at all times. In the meantime, we have posted limited access area signs, which list the authorized personnel to enter without escort and an American consular officer is present in the section at all times while the doors are open. The Consular Section is locked each evening upon departure of the consular officers and LE staff are not left alone in the section without an American Officer present. A new consulate building is presently being constructed and is anticipated to open summer 2009. The new building will meet all consular and state security requirements.

d) Inventory Count and Reconciliation of Accountable Consular Items: Complete inventory was conducted on 19 October 2007. All passports, passport foils, CRBAs, visa foils and non-expendable seals and stamps were accounted for without discrepancy. A memo was created and has been placed in the appropriate file.

e) Control and Reconciliation of Accountable Items: Verified that all accountable consular items are being handled,

controlled destroyed and accounted for per guidance from State. Prior to close of business each day, all accountable items are reconciled and accounted for in the system. Reconciliation sheets are printed, initialed, dated, placed in the safe and kept on file for 3 years.

f) Destruction Log: All spoiled, unusable and obsolete controlled consular items are destroyed according to regulation. A non-Consular Officer witnesses each destruction and signs the destruction log as required.

g) Cash Accountability:

(1) Primary and alternate ACOs and cashiers have been formally designated in writing by the new Principal Officer and Management Officer. Original documents are on file in the consular safe.

(2) The personnel mentioned above are familiar with the duties and responsibilities of their positions.

(3) Prior to close of business each day, the ACO reconciles the consular fees received for that day and completes the ACRS End of Day Report and Daily Accounting Sheet. At the end of each month the ACO forwards the Daily Accounting Sheet to the Management Officer for his review and verification.

h) Periodic Comparison of MRV Fees and NIV Applications: Verified that MRV fees and NIV applications are compared quarterly. No discrepancies noted.

i) Referral System: Upon arrival of the new Principal Officer, a revised referral policy was written, approved and signed. The new referral policy was provided to each FSO/section. All FSOs have been briefed on the new policy however, no referrals have been requested since the new policy was established.

j) Training: FSOs and LE staff are being cross-trained so that

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they can fill vacancies during personnel shortages. Quarterly training is conducted in Jakarta and all personnel are included in the training development program. Training for newly assigned consular personnel was not in place but has since been established for the next generation.

k) Standards of Employee Conduct: FSOs and LE staff are required to review the Standards of Ethical Conduct annually. All adjudicating officers recently underwent this training at FSI prior to their arrival at post.

l) Namecheck and Clearance Reviews: NIV Section Chief is responsible for reviewing all NIV applications on a daily basis. Post forwards SAOs whenever appropriate.

m) Visa Lookout Accountability: VLA procedures are in place and certification is up to date. Adjudicating officers at post were recently trained at FSI.

n) Intake, Interview and Screening: Intake and screening performed by LE staff is monitored on a daily basis due to close proximity to FSOs interviewing. LE staff have not overstepped their roles and do not try to influence the adjudication process.

o) Oversight of Processing: Due to physical constraints of the existing Consulate building, post has not been able to accomplish line-of-sight supervision on a continuous basis. However, consular officers do periodically observe LE staff process visas, passports, CRBAs, etc., on a regular basis. A new consulate building is presently being constructed and is anticipated to open summer 2009. The layout of this building will allow for line-of-sight monitoring.

p) Fingerprinting for Biometric Purposes: EFM Consular Assistants normally conduct all fingerprinting at post. Whenever the EFM is not available, Consular Officers fingerprint the applicants.

q) Interview and Adjudication: All visa applicants have appeared in person for an interview in 2007.

r) Photo Standards: Photographs over 6 months old are not accepted from applicants. When an applicant appears with a photograph that does not meet this standard they are required to provide a new photograph. This is all done during intake and processing.

s) Review of Visa Refusals and Issuances: Adjudicating officers at post enter notes for both refusals and issuances. The Principal Officer reviews the required cases on a weekly basis.

t) Visa Shopping: Applicants with prior refusals and third-country nationals are thoroughly scrutinized. All visa issuances are reviewed by the NIV Chief and no trends have been detected.

u) Consular File Management: Consular files are being maintained chronologically and in accordance with Department Policy. Older records are shipped to KCC when required or destroyed when appropriate. All files are kept in locked cabinets and are never left open for public perusal.

v) Passports and CRBAs: ACS Officer consistently checks CCD, PIERS and conducts name checks prior to issuing passports, extra pages and CRBAs. Citizenship is confirmed and proper identification is required prior to issuance.

w) Fraud Prevention Programs: Post recently conducted interviews to fill new FSN-I position. Selection has been made but still awaiting background and medical checks prior to formal offer of employment. In the meantime, the RSO FSN-I has been doing an exemplary job investigating all possible cases of fraud that adjudicating officers bring to his attention.

x) Classified Access: All Consular Officers have access to the classified system. Do to the small size of the post there isn't a designated Consular Chief. The consular officers check the classified system each day on a rotating basis.

y) Posts Exercising Supervision of Consular Agents: US Consulate Surabaya supervises the Consular Agency in Bali. Direct supervision of that consular agent is maintained through the ACS Officer at post. Periodic visits to Bali ensure that the management controls are in place. Last visit to the Bali Consular Agency was 26 - 28 September 2007, by Rebecca Couture, ACS Officer.

MCCLELLAND